
CPRIT Grantee Annual Compliance Training

June 2024



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TRAINING OVERVIEW

- Introductions
- FWA Reporting
- Recent Administrative Rule Changes
- Policies and Procedures Guide Overview
- Required Reporting
- Programmatic Topics



Sources of CPRIT Grantee Requirements

- Article III, Section 67 Texas Constitution
- Texas Health & Safety Code Chapter 102
- Texas Administrative Code Chapters 701 - 703
- Grant Contract
- Texas Grant Management Standards (formerly Uniform Grant Management Standards)



Fraud, Waste, & Abuse



FRAUD, WASTE, & ABUSE

How do I Make a Report?

Use Client Code #5124633190

(Users can remain anonymous)

Call


1-877-64-RedFlag
(1-877-647-3335)

Online

www.RedFlagReporting.com



FRAUD, WASTE, & ABUSE



Red Flag Reporting

Report concerns safely, securely and anonymously 24/7.

If you are uncomfortable with a situation, *Be Proactive.*

Red Flag Reporting is your hotline for:

- fraudulent activity / theft,
- misconduct,
- safety violations,
- unethical behavior.

Protect your organization and your co-workers.

Because Every Employee Deserves to Feel Protected and Safe.

Click  www.RedFlagReporting.com
or
Call  1-877-64-RedFlag (1-877-647-3335)
Client Code - 5124633190



Administrative Rules and Policies and Procedures Guide





[Home](#) > [Grants Funded](#) > [Grantee Resources](#)

Grantee Resources <https://cprit.texas.gov/grants-funded/grantee-resources/>

The grantee resources page includes the sources of CPRIT’s requirements, such as statutory and administrative rule text, as well as guidance on how to understand and apply those requirements during a CPRIT grant project. Examples of the grantee resources include proposed administrative rule changes, the Grant Policies and Procedures Guide, previous and upcoming compliance training opportunities, and other helpful webinars. Grantees will also find guidance on how to report fraud, waste, and abuse to CPRIT using Red Flag Reporting.

- Manage My Grant**
- Rules and Statutes
- Policies and Procedures
- Training
- Funding Webinars
- Reporting Forms
- Reporting Fraud

CPRIT Grant Management System

CPRIT utilizes an online grants management system that allows you to correspond with staff, manage budget information, submit reimbursement requests and required reports, manage grant contacts and review and accept contracts and contract amendments.

[Manage My Grant](#)



Upcoming Oversight Committee Meetings

- [March 08, 2024](#)
- [May 15, 2024](#)
- [August 21, 2024](#)

[Sign Up for Our Newsletter](#)

Manage My Grant

Rules and Statutes

Policies and Procedures

Training

Funding Webinars

Reporting Forms

Reporting Fraud

Rules and Statutes

State law requires agencies to use a rulemaking process, which includes an opportunity for the public to comment on proposed rules and rule changes before the agency adopts the final rule.

When CPRIT proposes a new administrative rule or a change to an existing administrative rule, it must do so through a rulemaking project. The rulemaking project, which CPRIT announces in the *Texas Register*, gives the public advance notice of the proposed rule so that interested persons may decide whether they wish to comment on the proposal.

Current Rulemaking Project

There is no current rulemaking project at this time.

Recently Adopted Rule Changes


At its November 15, 2023, meeting, the Oversight Committee approved the final adoption of recent changes to Section 701.25 that were initially presented at the August 16 meeting. The amendment expands CPRIT's electronic signature policy to include Grant Applicants.

Beginning on December 7, 2023, Texas Administrative Code Chapter 701 will reflect the recent rule amendments, which are also available [here \(CPRIT Adopted Rule Chapter 701.25\)](#).

Additional Resources

- [CPRIT's Governing Statute](#)
- [Administrative Rules](#)
- [CPRIT's Texas Constitution Article](#)

Upcoming Oversight Committee Meetings

 [March 08, 2024](#)

 [May 15, 2024](#)

 [August 21, 2024](#)

 [Sign Up for Our Newsletter](#)

Grantee Resources

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- Manage My Grant
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- Training
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- Reporting Forms
- Reporting Fraud

Policies and Procedures Guide

The Policies and Procedures Guide is made available for individuals and organizations interested in the CPRIT cancer research and prevention funding award program. It provides the framework for the review, award, implementation, and monitoring of CPRIT-funded research and prevention grant awards, as well as information on the rules and requirements that applicants and recipients of CPRIT grant awards must follow

- [CPRIT Policies and Procedures Guide](#)
The current version of the Grantee Policies & Procedures Guide is dated December 2023.
- [Texas Grant Management Standards \(TxGMS\)](#)



Upcoming Oversight Committee Meetings

- 📅 [March 08, 2024](#)
- 📅 [May 15, 2024](#)
- 📅 [August 21, 2024](#)

Sign Up for Our Newsletter

How to Stay in the Know



- ☑ Check CPRIT's website
- ☑ Receive CPRIT listserv emails
- ☑ Watch Oversight Committee meetings
- ☑ Attend training webinars



Recently Proposed & Adopted Administrative Rule Changes

Texas Cancer Plan format

Definition and Use of “Tranche”

Applicability of CPRIT’s Electronic Signature Policy

Definition and Use of “Scope of Work”



Texas Cancer Plan format

§ 701.11(5)

- Removes the hard copy option for the *Texas Cancer Plan*.
- CPRIT plans to present the next version of the *Texas Cancer Plan* as a fully online, dynamic resource available to the public



Published in *the Texas Register* on May 31.



Public comment is open through July 15.



Expected to be considered for final adoption at the August 21 Oversight Committee meeting.



Definition of “Tranche”

§ 701.3

- A portion of grant funds that is released to a grantee after the successful completion of predefined milestones.
- Adds “Tranche,” which CPRIT has used for over a decade, to the agency’s list of defined terms in Chapter 701.



Final adoption at the May 15th
Oversight Committee meeting.



- Capitalizes the term “Tranche” where it already appears in Chapter 703.
- These are non-substantive changes.

Use of “Tranche”

§§ 703.10, 703.21, and
703.23



Final adoption at the May 15th
Oversight Committee meeting.



Applicability of CPRIT's Electronic Signature Policy

§ 701.25

*Adopted & final in
December 2023*

- Clarifies that CPRIT's electronic signature policy applies to grant applicants as well as grant recipients.
- The policy allows CPRIT to rely on information submitted by a Grant Recipient's Authorized Signing Official (ASO) as legally binding.



Definition of “Scope of Work”

§ 701.3(63)

*Adopted & final in
September 2023*

CPRIT amended the definition of scope of work to include “specific aims and sub aims, if appropriate.”

Scope of Work: the goals and objectives or specific aims and sub aims, if appropriate, of the Cancer Research or Cancer Prevention project, including the timeline and milestones to be achieved.

A request for Applications (RFA) will specify applicable terminology for a grant mechanism.



Use of “Scope of Work”

§§ 701.3(29), 703.6,
703.7, 703.10,
703.21, 703.25

*Adopted & final in
September 2023*

These are non substantive changes that ensure consistent use of “Scope of Work” in CPRIT’s rules.

CPRIT replaced variations referring to scope of work (e.g., project goals, project scope) with the defined term “Scope of Work.”

Scope of Work includes CPRIT grant project: goals and objectives, specific aims and sub aims, if appropriate, timeline, and milestones to be achieved



Update on CPRIT's Online Portal for Grantee Intellectual property (IP) Reporting

- The CPRIT online portal for IP reporting is now operational for grantees to fulfill their IP reporting requirements.
- Attachment D of the grant contract requires grantees to notify CPRIT of certain IP-related actions (e.g., invention disclosures). IP reports submitted by grantees through the online portal fulfill IP reporting requirements of the grant contract.
- Dr. Michelle Leeuwon at CPRIT continues to provide IP database updates to grantees via email.
- If you have any questions about the online portal for IP reporting, please contact ipreporting@cprit.texas.gov.

Administrative Rules and Policies and Procedures Guide Q&A



Required Grant Reports



The Financial Status Report (FSR), Inventory Report and Audit Report are all annual reports.

Polling Question

Answer: False

The Financial Status Report (FSR) is due quarterly



Reporting Requirements

❖ Annual

- Inventory Report
- Revenue Sharing Report
- HUB/Texas Suppliers Report
- Matching Compliance Certification
- Annual Progress Report
- Single Audit Determination Form
- Audit Report

❖ Quarterly

- Financial Status Report
- Quarterly Progress Report
- ❖ All report due dates are available in CGMS



Financial Status Report (FSR)



The deadline for a grantee to respond to a request for additional FSR documentation is 5 business days.

Polling Question

Answer: True



Texas Administrative Code

TITLE 25

PART 11

CHAPTER 703

RULE §703.24

HEALTH SERVICES

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
GRANTS FOR CANCER PREVENTION AND RESEARCH

Financial Status Reports

(5) The Institute may request in writing that a Grant Recipient provide more information or correct a deficiency in the supporting documentation for a Financial Status Report. If a Grant Recipient does not submit the requested information within five (5) business days after the request is submitted, the Financial Status Report may be disapproved by the Institute.



FSR – Due Dates

Fiscal Quarter/ Reporting Period	FSR Due Date	Last Day of Grace Period
Sept 1 – Nov 30	Feb 28	Mar 30
Dec 1 – Feb 28	May 29	June 28
Mar 1 – May 31	Aug 29	Sept 28
June 1 – Aug 31	Nov 29	Dec 29



FSR Review and Approval Process

Submit FSR in CGMS

Includes uploading the necessary supporting documentation for all expenses reported in the FSR

Grant Accountant (GA) Review

GA verifies FSR includes allowable expenses w/ complete support documentation

GA may request clarification/additional supporting documentation from grantee or disapprove the FSR for corrections if unallowable costs included

Grantee should submit additional documentation or responses to questions within five (5) business days after the request; if no action taken by Grantee in the timeframe, GA disapproves the FSR

2nd Level Review

Compliance verifies FSR includes allowable expenses w/ complete support documentation

Compliance may request additional information /documentation

Once FSR and documentation are reviewed and no additional documentation or corrections are needed, authorization that the FSR can be approved is sent to GA

GA Approves FSR in CGMS

Reimbursement is initiated (Release of payment is dependent on the Grantee also being up-to-date on all other required grant reports)

CGMS sends approval notification to Grantee

The next quarter's FSR form populates in CGMS for completion



FSR Required Supporting Documentation

- Every Financial Status Report (FSR) must include a summary report of expenses generated directly from an accounting system or itemized on an **Excel spreadsheet**, as well as documentation to support grant costs paid during the current reporting period.
- **The report must contain the following information:**
 - **expense categories**
 - **itemized expenses**
 - **description of items**
 - **date paid**

FSR Submissions Checklist



Expenses are paid within FSR period



Payment date is included for all transactions



FSR amounts match ledger totals by expense category



Supporting documents are scanned in the same order as the transaction listing

FSR Submissions Checklist

Supporting documents are legible

Invoice amounts match amounts shown on the ledger and partial charges are explained on the invoice

Expenses are allowable and properly categorized

A memo justification for cost out of period is provided

FSR – Examples of Unallowable Costs

INDIVIDUAL
PROFESSIONAL
MEMBERSHIP FEES

ALCOHOL

TIPS & GRATUITIES

BAD DEBT

LOBBYING COSTS

ENTERTAINMENT

Polling Question

What is the top reason FSRs are returned to grantees?

- A. PLOE revisions needed
- B. Unallowable expenses
- C. Missing support documents
- D. Lack of Out of the Period (OTP) Memo

Answer: C



TOP 3 RESUBMISSION ISSUES

Missing support documentation

Need for expense clarification

Miscategorized expenses



TOP MISSING SUPPORT DOCUMENTATION



- Change Request Approval (Equipment, foreign travel)
- General Ledger
- PLOE
- Illegible documentation
- Invoices
- Time sheet information



Miscategorized Expenses

FSR Submitted with \$88,645.78 in "Other"; After review the correct categorization was as follows.

- \$40,700.26 allocated to "Equipment."
- \$44,165.52 allocated to "Supplies."
- \$3780 remained in "Other."

Pay Date	Descr	Budget Category	BUDG	Descr2	Fund	Dept	Project	Document	Expended	Pay Period/Details	Account	Invoice Date	Line Item #
11/1/2022	IMS SOA IDT CHARGES	7. Other	30	Maintenance & Operation	42044	M2800	187740	ITIT00218810	40,700.26	IMS SOA MONTHLY CHARG ' 112022	773034	11/1/2022	1
11/1/2022	IMS SOA IDT CHARGES	7. Other	30	Maintenance & Operation	42044	M2800	187740	ITIT00218810	47,945.52	IMS SOA MONTHLY CHARG ' 112022	773034	11/1/2022	1

Budget Categories		
1	Salary	\$39,237.09
2	Fringe	\$10,615.54
3	Travel	\$0.00
4	Equipment	\$40,700.26
5	Supplies	\$44,165.52
6	Contractual	\$0.00
7	Other	3,780
8	Indirect Costs	\$7,289.39
Total		\$145,787.80



■ **Dell DIR-TSO-3763**

■ **OMNIA #R200803**

Hardware

Reclassified from
“other” to “equipment”

Description	Price
PowerEdge R7525 - [amer_r7525_13945]	\$40,700.26
Description	SKUQuantity
SAS/SATA Backplane	379-BDSS
PowerEdge R7525 Server	210-AUVQ
Trusted Platform Module 2.0 V3	461-AAIG
8X 3.5 SAS/SATA with XGMI	321-BFDU
AMD 7702 2GHz,64C/128T,256M,200W,3200	338-BSWI
AMD 7702 2GHz,64C/128T,256M,200W,3200	338-BSWI
Additional Processor Selected	379-BDCO
Heatsink for 2 CPU + GPU/FPGA/Full Length card configs configuration	412-AASZ
Performance Optimized	370-AAIP
3200MT/s RDIMMs	370-AEVR
RAID 5	780-BCDP
PERC H745 Controller, Front	405-AAUZ



■ Dell DIR-TSO-3763

■ OMNIA #R200803

Hardware

Description	Price	Qty	Ext. Price
- ME4084 Drive Upgrades	\$788.67	56	\$44,165.52
Quantity Subtotal			
18TB Hard Drive SAS 12Gbps 7.2K 512e 3.5in Hot-Plug, CUS Kit		56	
Estimated delivery if purchased today: Oct. 17, 2022 Contract # C000000006679			
Description	SKU	Unit Price	Quantity Subtotal
18TB Hard Drive SAS 12Gbps 7.2K 512e 3.5in Hot-Plug, CUS Kit	400-BLWT	-	56
Subtotal:			\$44,165.52

Services

Description	Price	Qty	Ext. Price
Services: Block Hours	\$189.00	20	\$3,780.00
Enterprise Block Hours - Enterprise Block Hours Services can be used for a number of services. 20 Hours of Services are estimated to complete the installation and configuration of the 56 drives in the M4084E Drive Array.			
Subtotal:			\$3,780.00

Reclassified from "other" to "supplies"

Correctly classified as "other"



TOP EXPENSE CLARIFICATION

- Unclear description:

Line #	PO Line #	Description	UOM	Qty	Unit Price	Extended Amount
1	1	COLUMN C4 214TP SRS VYDAC 5UM	EA	1	\$ 1,127.6100	\$ 1,127.61

- Clear description:

10022-00	Scalpel Blades #22	2	C	54.50	0.000	109.00
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FSR Required Supporting Documentation

If the date paid is not found in the summary report, it should be noted on invoices.

A payment claimed for a period prior to the current period should be accompanied by an **Out of Period (OTP)** letter or memo explaining why the payment was not claimed in the appropriate period.



Acceptable OTP Explanation

Example A: the grantee has provided a clear explanation for why the expenses were not reported during the correct period

August 2, 2023

[REDACTED]
Financial Manager
CPRIT

RE: [REDACTED]

Dear [REDACTED];

We request that charges for personnel services provided from outside the current reporting period be allowed to be reported during the reporting period 03/01/23-05/31/23.

Some employees had corrections for prior reporting periods. We have confirmed that these corrections are allowable and that the employee was authorized for the period paid.

Thank you very much for your consideration of this request.

With best regards,

[REDACTED]
VP Finance and Chief Accounting Officer



Unacceptable OTP Explanation

Example B: the grantee has requested that the OTP expenses be approved, with no explanation for why the expenses were not reported during the correct period

This is to request approval for expenses with invoice dates outside the current reporting period, but were paid within the period to comply with CPRIT policy on reimbursement

Contract	Project	Activity	Customer	Account	Descr	Acct Category	Sum Amt	Code	Posted Date	Supplier	Name
SPA0003297	10029435	000004	100649	510497	Oth Lab And Med Sup	SUPPLIES	1,070.00	RFP	1/18/2023	0000137252	CITIBANK N.A
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	327.96	RFP	8/17/2022	0000137252	CITIBANK N.A
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	0	
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	287.95	RFP	8/17/2022	0000137252	CITIBANK N.A
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	0	



FSR Support Documentation Resources

FSR Required
Supporting
Documentation by
Expense Category

- Details the documentation a grantee must provide to support expenses reported for each budget category

CPRIT FSR Checklist

- A tool to assist grantees submit accurate information and documentation for all costs requested for reimbursement.

Financial Status Report Q&A



Personnel / Fringe Expense Category





FSR Personnel & Fringe Best Practices

- Payroll ledger included and ties to expense ledger
 - All employees are listed on PLOE with Level of Effort for current award year
 - Fringe expenses are listed by category for each employee
 - **Exception:** A copy of the agreement that describes the categories of fringe included in the pool must be provided if a grantee uses pooled fringe in accordance with a federally approved rate agreement.
-

Salary Cap Update

- Applications submitted in cycle 25.1, the maximum salary amount supported by CPRIT grant funds for an individual with 100% level of effort on a grant award is \$225,000
- For grants awarded prior to review cycle 25.1, the maximum salary amount supported by CPRIT funds is \$200,000

P&P Guide Reference:
9.5.2 Salary Limits

Personnel Level of Effort (PLOE)



Polling Question

The PLOE should include personnel with salary and fringe, travel, tuition and stipends on the grant.

Answer: True



Personnel Level Of Effort (PLOE)

Budget Summary		Details Year 1		Details Year 2		Personnel Level of Effort		Financial Status Reports		Payments		Other Financial Reports	
Personnel Level of Effort													
Senior/Key Person and Other Personnel			Level of Effort (LOE)		Year 1	Year 2	Total Person Months Per Person						
First Name	Last Name	Role on Project											
		Co-investigator	Type Appt. (months)		12	12							
			Effort on Project		0.00%	2.00%							
			Person Months		0.00	0.24	0.24						
		PI/PD/CR	Type Appt. (months)		12	12							
			Effort on Project		10.00%	10.00%							
			Person Months		1.20	1.20	2.40						
		Senior Research Assistant	Type Appt. (months)		12	12							
			Effort on Project		50.00%	50.00%							
			Person Months		6.00	6.00	12.00						
Total Person Months Per Year					7.20	7.44	14.64						

Prior to submitting for payment, the PLOE must include:

- Employee name (must be same spelling as on payroll)
- Position title
- Level of Effort



No Cost Extension - PLOE

The PLOE for NCEs needs to be updated because the extension period defaults to zero.

Other Personnel	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Program Coordinator	Type Appt. (months)	0	0	12	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
Co-Program Director	Type Appt. (months)	12	12	12	12	
	Effort on Project	8.00%	8.00%	8.00%	0.00%	
	Person Months	0.96	0.96	0.96	0.00	2.88
Project Assistant	Type Appt. (months)	0	0	0	12	
	Effort on Project	0.00%	0.00%	60.00%	0.00%	
	Person Months	0.00	0.00	2.40	0.00	2.40
Program Coordinator	Type Appt. (months)	0	12	12	12	
	Effort on Project	0.00%	10.00%	10.00%	0.00%	
	Person Months	0.00	1.20	1.20	0.00	2.40
Co-Program Director	Type Appt. (months)	12	12	12	12	
	Effort on Project	8.00%	8.00%	8.00%	0.00%	
	Person Months	0.96	0.96	0.96	0.00	2.88
Program Coordinator	Type Appt. (months)	0	0	4	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.00	0.00	4.00
Project Assistant	Type Appt. (months)	0	0	4	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.00	0.00	4.00
PI/PI/DCR	Type Appt. (months)	12	12	12	12	
	Effort on Project	50.00%	50.00%	50.00%	0.00%	
	Person Months	6.00	6.00	6.00	0.00	18.00
Project Assistant	Type Appt. (months)	0	0	1	0	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	1.00	0.00	1.00
Total Person Months Per Year		7.92	9.12	32.52	N/A	49.56

Example of a NCE which resulted in a Year 4 – automatically populates with zeros



PLOE Updates

FSR

Keep PLOEs current (update prior to submitting the FSR)

Outgoing personnel who provided LOE for reimbursement should remain on the PLOE for compliance purposes

NCE

Ensure that the PLOEs are current and accurate for No Cost Extensions (NCEs) as they default to zero.

Closeout

Grants transitioning to closeout status cannot be revised in CARS-CGMS, and any unlisted personnel expenses will not be reimbursed.



Personnel Level of Effort Q&A



Travel Expense Category



Multiple lunches can be reimbursed on the same receipt if each person's name and organization are provided.

Answer: False

CPRIT will only reimburse meals for the individual(s) listed on the PLOE.

The receipt should indicate the allowed meal(s), minus any alcohol and gratuities.

Polling Question





Home	Rates	Transportation	Meals and Lodging	Exceptions	Miscellaneous Provisions	Examples	Documentation Requirements
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Meals and Lodging
Meals
Lodging
Hotel occupancy taxes
Exception for employees of educational organizations
Exception for certain state officers or employees
Exception for travel outside Texas

Hotel occupancy taxes

Maximum reimbursement

When a **state employee** is entitled to be reimbursed for payment of a hotel occupancy or similar tax and the lodging amount incurred exceeds the maximum allowable lodging rate, the following calculation methods for the tax reimbursement must be used:

If the tax is calculated as a percentage of the lodging rate, then the amount of the reimbursement is equal to the percentage multiplied by the maximum that may be reimbursed to the employee for lodging expenses.



Travel Expense Report Requirements

For each trip taken, a separate travel expense report with all supporting documentation should be submitted, which should include:

- Grantee Name
 - Traveler's Name
 - Date(s) of travel
 - Purpose of the travel
 - Itemization of expenses
 - Proof of payment
-

Travel Expense Checklist



All travelers must be listed on the PLOE



Receipts should be legible and in same order as GL



Unless using per diem, meal expenses should be supported by itemized receipts.



Clearly identify meals for reimbursement on split receipts



Group and day trip meals are not allowed

Travel Expense Checklist



Grantee **must** include documentation of CPRIT approval for all international travel expenses



GSA rate printout for the travel location(s) zip code should be attached



Mileage calculations and transportation receipts included



Gratuities and alcohol should be excluded



Meals and lodging expenses are within GSA limits



Include a calculation to show that hotel room rates and taxes are prorated when they exceed the per diem

Alcohol or gratuities

Airfare costs that exceed coach class

Foreign travel without prior CPRIT approval

Travel outside of the grant contract effective dates

Employee traveling not listed on Personnel Level of Effort (PLOE)

Dates of travel occur outside of the employee's PLOE period (Travel Only Exception)

Ineligible Travel Costs



A collage of various international currencies including banknotes and coins. The collage is positioned on the left side of the slide, partially overlapping the blue background. It features a close-up of a US dollar bill at the top, a stack of Euro banknotes in the middle, and several coins of different denominations at the bottom.

Foreign Currency

All foreign currency expenses **must** be:

- converted to US dollar amounts before submitting to CPRIT, and
- documentation of the exchange rate used for the conversion **must** be included with all applicable supporting documents.

Travel Expense Category Q&A



Supplies, Other, Contractual & Equipment



Supply Category Expenses

- Desktop and laptop computers (including notebooks, tablets, and similar devices)
- Non-portable printers and copiers
- Communication devices (mobile telephones)
- Lab materials
- Office Supplies
- Equipment with unit cost of less than \$5000

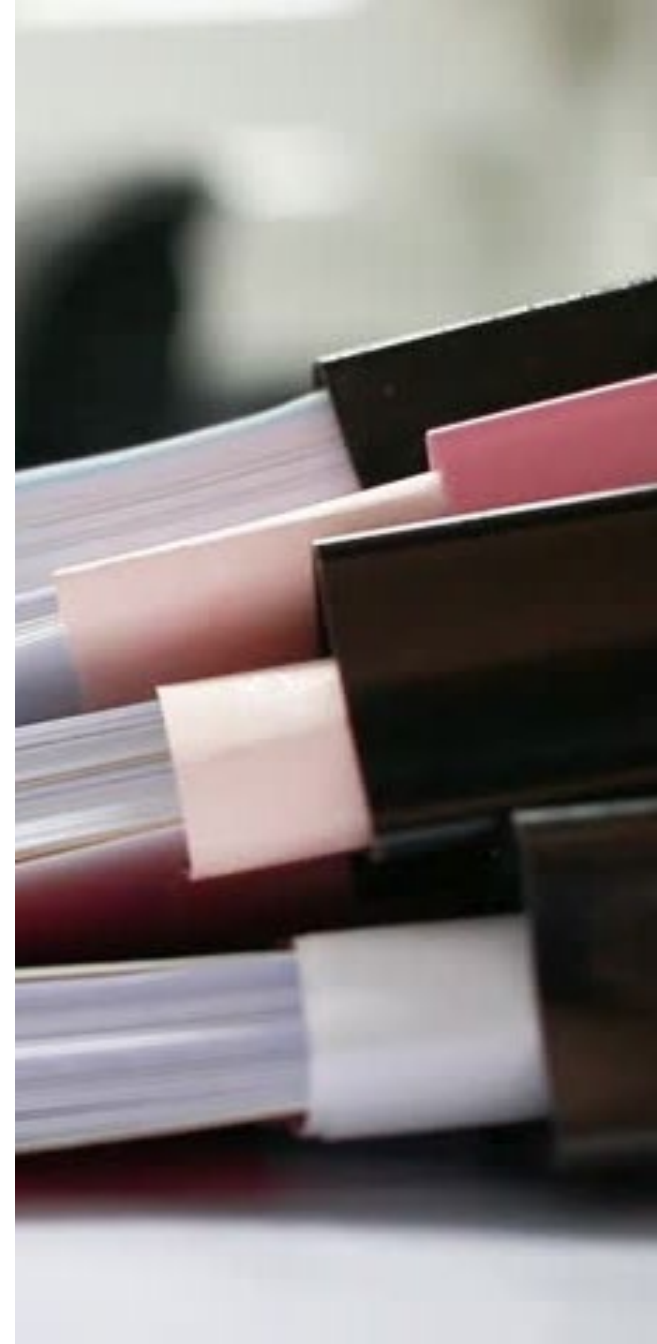


P&P Guide Reference:
10.6 Supplies Expense Category



Other Category Expenses

- Printing and reproduction expenses
- Services (ex., animal cost care, gene synthesis)
- Gift or gas cards
- Publication fees
- Equipment warranties and service contracts
- DNA sequencing, cloning, etc. services provided by a vendor
- Conference/registration fees
 - *Conference and seminar registration expenses should be listed in the "other" category if they are incurred by the institution/organization or an employee prior to travel.*
- Postage and shipping services (FedEx, UPS), etc.



My Company Ltd.

Date	2010-01-01
Your Order No.	1234

INVOICE No: INV001

**My Company
Logo**

Invoice To:

My Customer Name
1 Customeraddress Street
Customercity
AB1 2CD
UK

Item	Description	Qty	Each	Total
1.	Part No. 1	1	100.00	100.00
2.	Part No. 2	2	200.00	400.00
3.	Part No. 3	3	300.00	900.00

Total Net Amount £ 1 400.00
VAT £ 245.00 (17.5%)
Invoice Total £ 1 645.00

Terms: on receipt of invoice

FSR – Contractual

An itemized expense report for all contractual expenditures should be submitted with the FSR.

My Company Ltd.

1 Myaddress Street
Mycity
EF1 2GH
UK

Tel: 01234 56780
Fax: 01234 56789
Email: law@accurateimmigration.com
Website: www.mycompanysite.com

Contractual Travel Costs	Required Support Documentation
Airfare	Itemized Amount
Mileage	Itemized Amount
Hotel	Itemized Amount
Meals	Receipts
Taxi/Uber	Receipts

FSR – Contractual Travel



Equipment



For all equipment expenses (unit cost of \$5000 or more), the grantee **must** include acceptable documentation of CPRIT approval.

- Acceptable documentation includes:
 - Initial Budget Justification with **equipment items highlighted**.
 - Approved change request



Acceptable Equipment Documentation

[my Grants](#) - [Grants](#) - [CR](#)

Change Requests

Grant ID: [REDACTED] Grant Title: [REDACTED]
PI/PD/CR: [REDACTED] Organization: [REDACTED]

[Grant Information](#) [Contacts](#) [Documents & Forms](#) [Correspondence](#) [Internal Notes](#) [Budget & Financial Status Reports](#) [Progress Reports](#) [Change Requests](#)

[Back to Change Requests](#)

Change - Not Otherwise Specified

* **Change Request Details:** I am requesting to rebudget funds allocated to subcontracts to purchase a tissue homogenizer, ~\$6,700.

* **Justification:**

The remaining experiments require a greater degree of T cells to be recovered from tumors and lymph node tissues than possible from our past animal cohorts. For this reason, we require the equipment purchase of a homogenizer.

[\[View/Hide Notes and Comments About This Document\]](#)

2022-02-07 09:46 Complete Web Form - [REDACTED]

2022-02-07 09:46 Verify Information (verified) - [REDACTED]

2022-02-07 09:51 ASO Review (approved) - [REDACTED]

2022-02-07 12:05 Grant Manager Review (approved) - Moore, Patty (Grants Manager)

2022-02-07 12:07 Contract Manager Review (approved) - Nelson, Lisa (Contract Manager)



Acceptable Equipment Documentation

LINE	PART ID	DESCRIPTION	U/M	TAX	QUANTITY	UNIT PRICE	EXTENSION
1	NIS0001	NanoAssemblr Spark Instrument	EA	R	✓ 1.0000	25,116.00	✓ 25,116.00
2		FREIGHT CHARGE	EA	N	0.0000	0.00	78.50

██████████ Detailed Budget for Year One

Other Direct Charges	
Travel	\$3,000
Equipment (Itemized) ✓ Funds are requested to upgrade several instruments to optimize manufacturing and to enhance efficiency <u>Precision NanoSystems NanoAssemblr</u> , Agilent TapeStation, Shaking Incubator, Oxford Nanopore Technology MinION (refer to budget justification for details).	\$50,000



Matching Compliance Certification (MCC)



Matching Compliance Certification (MCC)

- Grantees should upload 100% of matching support documentation at the time the MCC form is completed and uploaded to CGMS
 - Match General Ledger
 - Invoices related to Match expenses
 - Proof of payment
- MCC will not be approved until all documentation is uploaded by the Grantee and reviewed by CPRIT









Matching Compliance Certification (MCC)

- Institutions of Higher Education may use their Federal Indirect Cost Rate to fulfill match requirement
- Institutions of Higher Education **must upload to each grant record** most current indirect cost rate agreement
- If grantee uses a blended indirect cost rate calculation, grantee is **required** to have and follow a documented internal policy





MCC – Allowable Expenses (not an exhaustive list)

-  Any expense that can be claimed for grant reimbursement
-  Unrecovered indirect costs up to ten percent (10%) of the grant award amount DOES NOT APPLY TO ACADEMIC INSTITUTIONS
-  An employee's salary amount that exceeds CPRIT's \$200,000 cap
-  Travel expenses that exceed the GSA per diem on hotel rates or meals
-  Airfare costs that exceed coach class airfare
-  Foreign travel related to CPRIT's funded project





MCC – Allowable Expenses (not an exhaustive list)


 Taxes that are effectively user fees (hotel taxes, gasoline tax, or airfare tax)

 Short-term travel visa fees and associated costs for an employee listed on the PLOE

 Grantee professional association fees or dues (related to the CPRIT-funded project)

 Patent application fees and associated patent application preparation costs

 Moving costs of office furnishings or employees of companies relocating to Texas

 Security systems and ongoing security system monitoring fees for physical space



MCC – Deficiency

Grantees may carry forward a deficiency in matching funds to the next project year if -

- it is equal to or less than 20% of total match requirement
- and has no previous matching fund deficiency

[P&P Guide Reference:](#)
6.4 Matching Funds Certification and Verification

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Matching Compliance Certification Q&A



Programmatic Topics



Aims/ Sub Aims Change

- Material changes in the design and/or specific aims likely to result in an amended scope of work



Progress Reports

Ensure that Progress Reports contain accurate and complete impact data.

This includes, but is not limited to:



All Publications
(manuscripts
to published)



Follow-on
funds



Patents and
Patent
Applications



Clinical trials



Core Facility
Support Award
user data



Research
training award
data



Progress Reports – Return Reasons

- Progress report is internally inconsistent

- Details of progress is in an attached PDF instead of the Summary of Progress or Summary text boxes.

- Repeated publication or grant.

- Incomplete information

- PI does not provide enough detail about
 - work performed to allow an evaluation,
 - repeats work from another objective or from a previous year,
 - or marks not required when work was required according to the timeline or anticipated activities in previous year's report.



Funding

This work was conducted with support from [redacted] Cancer Prevention Research Institute of Texas (CPRIT) RP150587. [redacted] was supported by a Career Development Award (CDA 11-217) from the U.S. Department of Veterans Affairs. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.

CPRIT Acknowledgment

- Printed and visual materials related to CPRIT funding should include CPRIT acknowledgment and grant ID.
- Publications not funded by CPRIT, should not be included in the progress report
- **RR grants only** - Recruitment awardees are expected to report all publications relating to cancer, not just those fully or partially funded by CPRIT.

Rebudgeting change requests are automatically approved by CPRIT in CGMS.

Polling Question

Answer: False

Rebudgeting change requests will only be automatically approved by CGMS if the changes are equal to or less than 10% of the grant year's total budget.



Change Request Types



Goal or Objective Change

Change of Organization Request

No Cost Extension

PI Change Request

Personnel Level of Effort Change

Rebudgeting

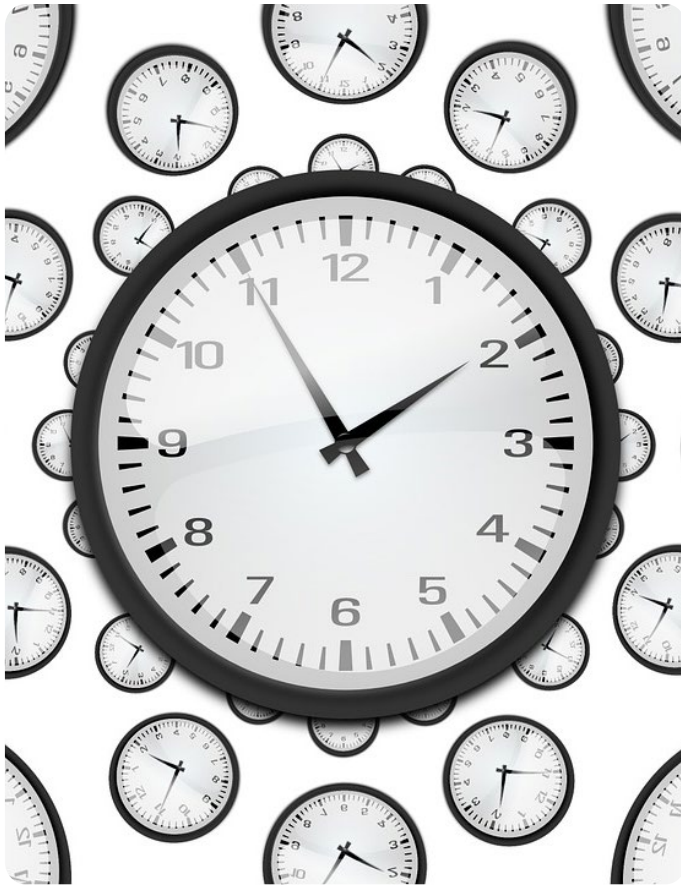
Advancement of Funds

Change – Not Otherwise Specified

Change of Organization

- Transfer of the award to another organization in Texas
- CPRIT awards may not be transferred to organizations outside the State of Texas





No Cost Extension (NCE)

- A contract end date may be changed to allow the grantee more time to complete work on the grant project
- Only goals and objectives that have been approved but have not yet been completed can be conducted during an NCE





No Cost Extension (NCE)

- Not automatically approved
- Include new requested End Date
- More than 6 months can be requested. The increased number of months should be mentioned in the first sentence of the justification
- Request must be submitted at least 30 days prior to termination date but not more than 180 days prior
- The PI must exhibit measurable effort during an approved NCE



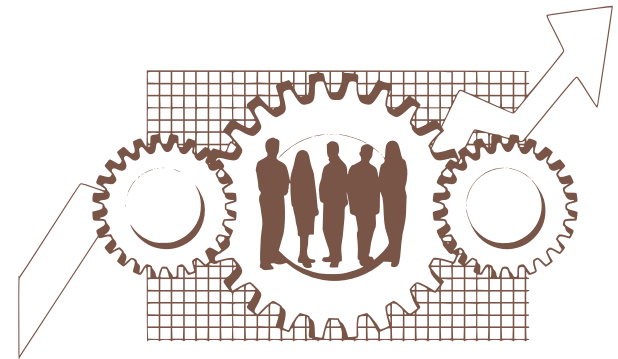
Change in Principal Investigator (PI)

- Not automatically approved
- Reviewed by Chief Scientific Officer
- Bio-sketch of proposed PI
- Include Context and justification for change



Personnel - Level of Effort Change (PLOE)

- Changes for all personnel or their level of effort on a CPRIT grant
- Include information regarding what changes are being made
- The justification must match the effort table



Rebudgeting

- Total approved budget and assignment of costs may be adjusted
- Fund transfers between budget categories can be permitted if it aligns with the project's scope, contributes to project objectives, and is an efficient use of grant funds.
- Prior approval is not required for
 - Changes to line items within budget categories that do not exceed 10%
 - Do not alter the total approved budget, project nature, performance, or scope.



Change Not Otherwise Specified (CNOS) – International Travel

- International Travel added after contract execution
 - Include name of person traveling
 - Please provide Ad Hoc Documents with the conference brochure and travel expense cost estimates.



Change Not Otherwise Specified (CNOS) – Equipment

- Equipment purchases not included in the grant application
- Upload current quote to Ad Hoc documents
- Ensure that service agreement does not exceed the grant period



Recruitment Applications Administrative Issues



Ensure that the nominators' email address is the actual one, not generic or ASO-related



Candidate eligibility for award



Budget for 12 months, including summer



Institutional commitment complete with all components and required statements



Contact Us

CPRIT's success is based on our funded research project successes.
Please **contact** the Academic Research team with your pre- and post-award questions.

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Single Audit Determination (SAD) Form & Annual Audit



Single Audit Determination (SAD) Form

Audit Certification

For fiscal year 2022, we certify to the best of our knowledge that: (Check one)

- We spent less than \$750,000 in total STATE awards (including awards, grants, cooperative agreements, contracts) during our fiscal year ending 6/30/2022
No State Audit is Required
- We spent \$750,000 or more in total STATE awards (including awards, grants, cooperative agreements, contracts) during our fiscal year ending 6/30/2022
An Audit or Agreed Upon Procedures Engagement may be required, in accordance with State of Texas Single Audit Circular.

Note: If an Audit or Agreed Upon Procedures Engagement is required, the Audit must be submitted within the earlier of 30 days after receipt of the auditor's report, or nine months from the Grantee fiscal year end date.



Annual Audit

Audit Requirement

(Single Audit, Program Specific Audit, or Agreed Upon Procedures Audit (AUP))

- A delinquent required audit and/or corrective action plan
 - A hold on reimbursements/advances
 - And grantee is **ineligible** to be awarded a new or a continuation grant award
 - Until document is submitted and approved by CPRIT

Note: Unallowable Audit Submissions

- The Statewide Single Audit may **not** be used to fulfill a grantee's audit requirement because this audit does not include a review of state-funded grants
- State of Texas Annual Comprehensive Financial Report (ACFR)



Grant Support



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CGMS Technical Issues

- Contact CPRIT Helpdesk
- Help@CPRITGrants.org
- **Phone: 866-941-7146**

Programmatic/ Content questions

- Contact the CPRIT Program Manager

Financial Questions/Issues

- Contact CPRIT Finance Manager/ Grant Accountant



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CPRIT Grantee Annual Compliance Training

June 2024

